

Hazardous Materials Emergency Planning Grant Program Site Visit Guidance for Grantees

Introduction

The Pipeline and Hazardous Materials Safety Administration (PHMSA) has increased Hazardous Materials Emergency Preparedness (HMEP) grant program monitoring to include grantee site visits to ensure grant funds are used efficiently, and provide training and education, as needed. This document should help grantees prepare for PHMSA's site visits by describing the process and what can be expected.

There are two phases to a site visit as described below. Additionally, a sample agenda is provided.

Pre-Site Visit

The Pre-Site Visit phase involves preparation for the Site Visit, and notifies the selectees of the pending visit. PHMSA's goal is to visit all of its grantee sites during the next several years.

- PHMSA will notify the selected grantee of the pending visit approximately 30 days in advance via e-mail to include:
 - On-Site Review agenda, and
 - On Site Review questions.
- PHMSA and the selected grantee will determine appropriate site visit dates based on availability and time frame.
- Prior to the site visit, PHMSA will review grantee materials and information specific to the grant reporting period related to the site visit (may contain multiple grant years). This review may include:
 - Application,
 - Expenditures,
 - Supporting Documentation, and
 - Any other related findings.

On-Site Visit

The On-Site Visit phase involves meeting with the grantees and following the prepared agenda.

- In-Brief:
 - Introduction, and
 - Review Agenda.
- Interviews:
 - Questions and answers (Q&A) for the grantee.
- Document review:
 - Develop assessment.
- Out-Brief:
 - Exit interview, and
 - Discuss initial findings.

Sample Site Visit Agenda

In accordance with 49 CFR 110.70(d), the U.S. Department of Transportation, Pipeline and Hazardous Materials Safety Administration (PHMSA) will conduct an on-site review with your agency on a date scheduled with PHMSA. The HMEP review team will be comprised of approximately two to three PHMSA personnel. The agenda, planned logistics, and request for materials follow.

PHMSA requests your office prepare the following for the review:

- A conference room with a speaker telephone for Day 1;
- A conference room able to accommodate four people for Days 1 and 2;
- An organizational chart;
- Files for two selected subgrants, including solicitation document;
- Source documentation, including back-up for reports, payment requests, matching, and maintenance of effort; subgrant and procurement documentation; and
- A grant staff member to work with the review team who is able to address questions regarding all recent year applications and final reports submitted to PHMSA.

Day 1

Session I — *Entrance Meeting*

- Introductions, visit objectives, agenda review, overview of changes in HMEP process.

[State grant managers and staff are encouraged to attend.]

Session II — *Organization and Staffing to Manage the HMEP Grant*

- Overview of State agency responsibilities:
 - HMEP and other Federal grant programs, and
 - Other sources of funding.
- Staffing for management of HMEP program:
 - Number of staff,
 - Percentage of time, and
 - Responsibilities.
- How HMEP grant funding/matching is used in relation to compensation of responsible staff.

[Requirements: Description by key players of their roles; handout of an organization chart.]

Day 2

Session III — *Management of Pass-Through Funds*

- Overview of other State and local organizations that have responsibilities for the HMEP grant:
 - Relationship with SERC,
 - Operation of Local Emergency Planning Committees (LEPCs), and
 - Use of organizations to manage training portion of program.
- How these entities are funded, including how funding amounts are determined, and type of agreement, and
- How performance of these entities is monitored.

[*Requirements:* Responsible staff to lead the discussion and handouts of any written materials that describe the processes used, State legal opinions, other applicable documents.]

Session IV — *HMEP Application Preparation and Internal Review*

- Overview of annual narrative, statement of work, and budget preparation, and
- Description of internal agency review process.

[*Requirements:* Responsible staff to lead the discussion and handouts of any written materials that describe the processes used, State legal opinions, other applicable documents.]

Session V — *HMEP Planning and Training*

- Overview of agency process for ensuring planning activities are consistent with HMEP requirements:
 - How priorities are determined, and
 - How the agency ensures compliance with the requirement to pass through 75 percent of these funds to LEPCs.
- Overview of agency process for ensuring training activities are consistent with HMEP requirements:
 - Standards used to determine allowable training, and
 - How the agency ensures compliance with the requirement to ensure 75 percent of grant funds are used for the training of public sector employees.

[*Requirements:* Responsible staff to lead the discussion and handouts of any written materials that describe the processes used, State legal opinions, other applicable documents.]

Session VI — *Policies, Procedures, and Systems*

- Description of written policies and procedures used to ensure compliance with grant requirements and whether State-level or agency-specific:
 - Manuals, standard operating procedures, other.
- Demonstration of any systems used to support HMEP grant performance:
 - Timekeeping and travel,
 - Reporting, and
 - Compliance, including maintenance of effort.

Session VII — *Team reviews supporting documentation*

[*Requirements:* Work area that can accommodate PHMSA representatives; documentation as requested for two selected subgrants.]

Day 3

Session VIII — *Team reviews supporting documentation*

[*Requirements:* Work area that can accommodate PHMSA representatives; documentation as requested for two selected subgrants.]

Session IX— *Exit Meeting*

- Review of general findings, and
- Q&A.